Approval: M.D. Gardner _(signature)_   Date: _10/12/2004_
Manager, National Spent Nuclear Fuel Program

I. PURPOSE AND SCOPE

This procedure provides a mechanism internal to the National Spent Nuclear Fuel Program (NSNFP) to evaluate NSNFP activities and to identify opportunities for improvement. The procedure applies to a range of management systems and NSNFP activities, including but not limited to *technical work* (see glossary) and quality assurance (QA) program implementation. The process focuses on preventing the introduction of errors or inefficiencies during the performance of NSNFP work.

The evaluation process described by this procedure combines the detection of incomplete or inappropriately implemented management systems, the identification and implementation status of applicable lessons learned, and the recognition of good work practices to provide information for use by NSNFP management to improve the performance of NSNFP work.

Self-assessments are performed in addition to scheduled QA Program audits and QA surveillances when requested by NSNFP management.

II. SUMMARY

NSNFP management identifies a self-assessment topic or selects a topic from Attachment A. Assigned NSNFP personnel plan the self-assessment through interaction with requesting member of NSNFP management and perform the self-assessment. The results of the self-assessment are reported to the requesting NSNFP management, and a course of action is established (Attachment B). The course of action may include no action, rework of the activity, the elevation of the identified condition to the corrective action system for further evaluation, the creation and dissemination of a NSNFP lessons learned document (Attachment C), or the implementation of a good practice by incorporating the practice in NSNFP administrative processes.

III. PROCEDURE

A. Initiating a Self-Assessment

NSNFP Management

1. Identify a self-assessment topic or select a topic from Attachment A

2. Assign NSNFP personnel to plan and perform a self-assessment

B. Planning and Performing a Self-Assessment

NSNFP Personnel

1. Interact with NSNFP management to plan a self-assessment.

2. Perform the planned self-assessment.

3. Report the results of the self-assessment to NSNFP per Attachment B.

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C. Determining a Course of Action For Reported Self-Assessment Results

NSNFP
Management

1. Review the reported results of self-assessments.

2. Using Attachment B, assign and communicate one of the following courses of action.

   a. Assign no action.

   b. Assign NSNFP personnel to rework the conditions.

   c. Send to NSNFP QAS for further evaluation according to NSNFP Procedure 16.02.

   d. Assign NSNFP personnel to develop a lessons learned report for dissemination according to Attachment C.

   e. Assign NSNFP personnel to create a NSNFP procedure change according to NSNFP Procedure 5.01.

IV. REFERENCES

None.

V. DEFINITIONS

Terms appearing in italics followed by the notation "see glossary" are defined in the NSNFP Documents Manual Introduction and Glossary.

VI. ATTACHMENTS

Attachment A, Self-Assessment Topics

Attachment B, Self-Assessment Report (Example)

Attachment C, Lesson Learned Document Format (Example)

VII. QUALITY RECORDS

The following quality records generated as a result of this procedure require retention in accordance with the identified classification and NSNFP Procedure 17.01.
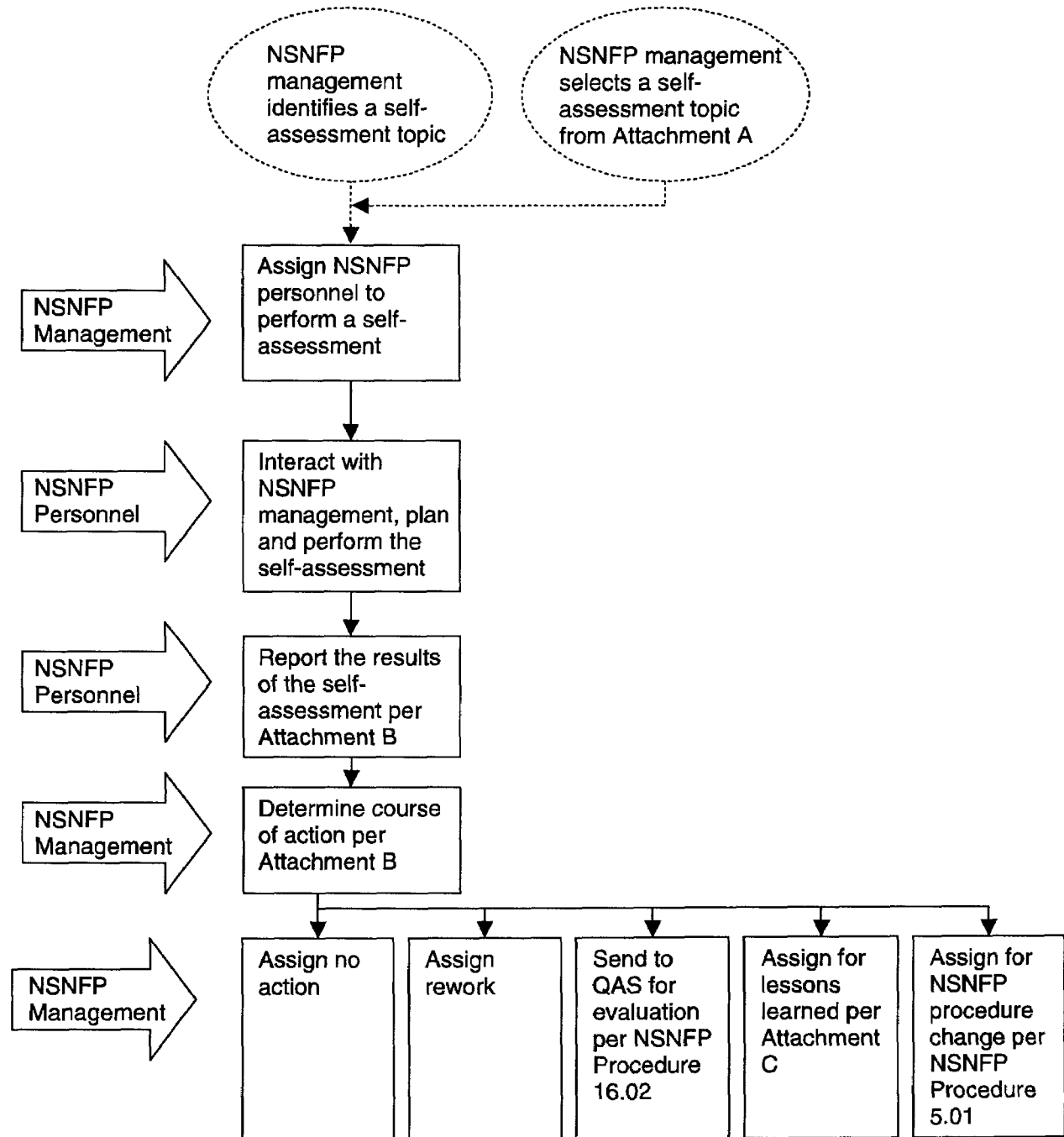
<u>Lifetime:</u>

None.

<u>Nonpermanent:</u>

None.

VIII. PROCEDURE FLOW DIAGRAM

GA04-PMP-2-09_01

Attachment A
Self-Assessment Topics

Topic/Performance Objectives/Criteria	Requirement
Topic: Engineering Design Files (EDFs) **Criteria:** EDFs are used to document information and data in accordance with NSNFP procedures **Performance Objective:** A defensible record is created to support NSNFP engineering work.	**NSFNP Procedure 3.04**
Topic: Incorporation of Lessons Learned into NSNFP work **Criteria:** Applicable lessons learned have been appropriately identified, posted, and incorporated into NSNFP work. Periodically review the following sources for information applicable to NSNFP: Final occurrence reports DOE Lessons Learned Information System NRC Bulletins and Notices DOE Office of Nuclear and Facility Safety Operations Experience Weekly Summary DOE Safety and Health Connection Environmental Safety and Health Synergy **Performance Objective:** A review of lessons learned indicates that appropriate lessons learned have been posted on the NSNFP Homepage and, as applicable, incorporated into NSNFP work.	**None**
Topic: Implementation of Task Management Agreements or Statements of Work **Criteria:** Implementation of Task Management Agreements or Statements of Work is occurring consistent with the milestones established by the NSNFP Procedure 4.02 documentation and consistent with NSNFP Procedure 2.05 planning documentation. **Performance Objective:** Implementation progress is consistent with the formal planning	**NSNFP Procedures 4.02, 2.05**

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Topic/Performance Objectives/Criteria	Requirement
Topic: Collection of QA Records **Criteria:** QA records are to be developed in accordance with NSNFP procedures and collected in accordance with NSNFP Procedure 17.01 **Performance Objective:** Closure status of Document Action Requests indicates timely and complete collection of required records.	**NSNFP Procedures 17.01, 6.01, 6.04**
Topic: Training and, as applicable, verification of personnel experience. **Criteria:** Prior to performing work activities described by NSNFP procedures, NSNFP personnel must have completed the required training and, as applicable, NSNFP must have verified personnel experience. **Performance Objective:** Training status is routinely reported to management and delinquencies resolved.	**NSNFP Procedures 2.04, 2.08, 6.01, 6.04**
Topic: Product acceptance is documented for products provided by Government Sector Suppliers. **Criteria:** Deliverables received in accordance with Task Management Agreements (NSNFP Procedure 4.02) are reviewed for acceptance. A formal review or test of supplier deliverables is performed and documented as stipulated. **Performance Objective:** Deliverables are accepted prior to use	**NSNFP Procedures 7.03, 4.02**
Topic: Supplier audits and surveillances are scheduled and performed to support NSNFP Planning. **Criteria:** Supplier audits and surveillances planned per NSNFP Procedure 2.05 are conducted commensurate with the progress of the tasks. **Performance Objective:** Supplier qualifications are confirmed on time.	**NSNFP Procedures 2.05, 18.01**
Topic: TBD **Criteria:** TBD **Performance Objective:** TBD	**TBD**

Attachment B
Self-Assessment Report

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NSNFP Self-Assessment Report

Topic:

Criteria:

Performance Objective:

Tasks Or Activities Reviewed:

Dates Self-Assessment Performed:

Results of the Self-Assessment:

Performer:

_____   _____/_____

Printed Name   **Signature**   **Date**

Manager's selected course of action:

Manager:

_____   _____/_____

Printed Name   **Signature**   **Date**

Distribution:

Attachment C
Lesson Learned Document Format

Assigned Title: **Doc. Control Identifier:** (Optional)

Functional Areas (Lesson Learned Applicability):

Keywords (to support searches):

Sources and References:

Lesson Learned Summary Description:

Discussion of Lesson Learned (Facts, circumstances, activities surrounding the discovery):

Analysis of Events Leading Up to the Problem (if available):

Recommended NSNFP Action to Incorporate the Lessons Learned:

Distribution: (Disseminate to NSNFP personnel, and/or post to NSNFP homepage, and/or complex wide dissemination to DOE and contractor organizations)

Manager's Concurrence:

Name Printed_____ **Signature** _____**/Date**_____